

Appendix E

APPENDIX E PREFACE

Appendix E specifies certain requirements and Department of Energy Directives and Notices that SURA and DOE agree are applicable to this contract but are not otherwise included as part of the Work Smart Standards. In this context, the term "applicable" means that:

1. The purpose and policy of the Directive/requirement include elements that are intended and appropriate for an unclassified non-nuclear user research facility such as TJNAF;
2. Facilities and operations such as TJNAF are not explicitly excluded by the Directive/requirement;
3. The scope and policy of the Directive/requirement are relevant to a product or service SURA is providing DOE through the contract; and,
4. The Directives and/or requirements are not limited to government organizations and employees.

Further, both SURA and DOE recognize that each listed Directive/requirement contains numerous requirements and provisions which are most useful and beneficial when applied using a graded approach, based on the risk, cost, and benefit at the specific facility. It is the intention of both parties that performance rather than compliance be the driver for the implementation at TJNAF of the policies cited in these Directives/requirements. Appropriate implementation will be determined through good faith discussion between SURA and the DOE TJNAF Site Office. SURA and DOE agree that the guiding principle for such discussion will be that any systems and procedures implemented to serve the policy and purpose of the Directive/requirement be cost effective and add value to TJNAF's management and operation, without compromising health, safety, environment, or property management. The applicability of prospective DOE Directives is determined according to the procedures in Clause I.110.

SURA recognizes the value of being aware of DOE policies, responsibilities, formats, guidance, and procedures and its responsibility to interface effectively with DOE. SURA agrees to use appropriate DOE-generated standards, manuals, and guides as references, even though they are not explicitly included in Appendix E, as well as standards, references and guides developed and published by professional groups, to help ensure that plans and actions are based on accepted "best practice." Applicable standards and manuals specifically identified as mandatory in a Directive/requirement listed in this contract appendix will be addressed using the same graded approach as the cited Directive. SURA also recognizes that some DOE Directives/requirements establish policy and include provisions which the Department has determined are necessary to discharge specific regulatory and fiduciary responsibility in selected areas.

DOE has contracted with SURA to manage and operate TJNAF. DOE acknowledges

SURA's prerogative to establish internal policies, responsibilities, formats, and procedures to provide the highest quality products and services to DOE and the Laboratory's user community, and the greatest value to the taxpayer. DOE recognizes that SURA's internal efficiency and its ability to accomplish the cost reduction mandated in Article 30 may require flexibility in meeting the intent and desired outcomes of DOE Directive/requirement, rather than arbitrary compliance.

DOE recognizes that monitoring performance measures of actual outcomes is a more effective method than document approval to accomplish its oversight responsibilities.

List A

As defined in Clause H.37 entitled "*Environmental Protection, Safety and Health – Work Smart Standards,*" List A of this contract consists of:

- The laws, regulations, and DOE Directives that control the hazards identified in Jefferson Lab's Work Smart Standards "Set,"
- The standards that are regulatory through reference in a law or regulation; and,
- The EH&S Administrative Laws and Regulations list identified as applicable to the Laboratory from the DOE Directive review process.

As outlined in Clause H.37, failure to include an applicable law or regulation in the "Set" does not affect the obligation of the contractor to comply with all requirements of law or regulations unless DOE or the appropriate regulatory agency has granted relief in writing.

Revised
Mod M2-1
2/3/04

APPENDIX E
DOE ORDERS, NOTICES, SENS
Applicable to the Jefferson Lab Contract
List B

I. Directives Applicable to the contract:

- DOE O 200.1 *Information Management* (Issued 9/30/96)
- DOE N 205.1 *Unclassified Computer Security Program* (Issued 7/26/99)
- DOE N 205.2 *Foreign National Access to DOE Cyber Systems* (Issued 11/1/99)
- DOE N 205.3 *Password Generation, Protection, and Use* (Issued 11/23/99)
- DOE O 2030.4B *Reporting Fraud, Waste, and Abuse to the Office of Inspector General* (Issued 5/18/92)
- DOE O 2320.1C *Cooperation with the Office of Inspector General* (Issued 5/18/92)
- DOE O 3309.1A *Reduction In Contractor Employment* (Issued 11/30/92)
- DOE O 3830.1 *Policies and Procedures for pension Programs Under Operating and Onsite Service Contractors* (Issued 8/23/82)
- DOE O 3890.1A *Contractor Insurance and Other Health Benefits Programs* (Issued 6/12/92)
- ~~DOE O 430.1A *Life Cycle Asset Management* (Change 1 Issued 10/14/98)~~ Deleted
M2-1
- DOE O 205.1, *Department of Energy Cyber Security Management Program* (Effective Date: October 1, 2003)
- DOE O 413.3 *Program and Project Management for the Acquisition of Capital Assets, Attachment 1, Contractor Requirements Document, approved 10-13-00*
- DOE O 430.1B, *Real Property Asset Management, Attachment 2, Contractor Requirements Document, approved 9-24-03 (this order cancels O 430.1A, Life Cycle Asset Management)*
- DOE O 430.2A, *Departmental Energy and Utilities Management, Attachment 1, Contractor Requirements Document, approved 4-15-02 (this order cancels DOE O 430.2, In-House Energy Management)*

1. The purpose of this modification is to add the following DOE Orders/Requirements to List B of Appendix E of subject contract:

- DOE N 205.8 Cyber Security Requirements for Wireless Devices and Information Systems
- DOE N 205.9 Certification and Accreditation Process for Information Systems Including National Security Systems
- DOE N 205.10 Cyber Security Requirements for Risk Management
- DOE N 205.11 Security Requirements for Remote Access to DOE and Applicable Contractor Information Technology Systems
- DOE N 205.13 Extension of DOE N 205.4, Handling Cyber Security Alerts and Advisories and Reporting Cyber Security Incidents until 7-6-05.

2. All other terms and conditions remain unchanged and in full force and effect.

II. Specific Requirements of the Directives Applicable to the Jefferson Lab Contract:

- DOE O 2300.1B *Audit Resolution & Follow-up* (Issued 6/08/92)
 - Applicable paragraphs:
 - 5 (b)
 - 5 (c)
 - 5 (d)
 - 5 (i)
 - 5 (j)
- DOE O 3220.4A *Contractor Personnel & Industrial Relations Reports* (Issued 1/07/93)
 - Applicable paragraphs:
 - 6 (a)
 - 6 (b)
 - Chapter 1
 - Chapter 2
 - Chapter 3
 - Chapter 4
 - Chapter 5
 - Chapter 9
- DOE O 3220.6A *Federal Labor Standards* (Issued 5/14/92)
 - Applicable paragraphs:
 - 8 (a)(2)
 - 8 (b)
 - 8 (c)
 - 8 (d)
- DOE O 4300.2C *Work for Others* (Issued 12/18/94)
 - Applicable paragraphs:
 - 6 (d)
 - 6 (e)
 - 6 (f)
 - 6 (g)
 - 6 (h)
 - 6 (i)
 - 6 (j)
- DOE O 5700.7C *Work Authorization System* (Issued 5/18/92)
 - Applicable paragraphs:
 - 9 (a)
 - 9 (b)
 - 9 (c)
 - 9 (d)
 - 9 (f)

III Directives to used as "Guidelines"¹:

- DOE M 200.1-1 *Telecommunications Security Manual* (Issued 3/1/97)
- DOE G 205.3-1 *Password Guide* (Issued 11/23/99)
- DOE M 231.1.1, Chg 1 *Environment, Safety, & Health Reporting Manual* (Issued 11/7/96)
- DOE M 232.1.1A *Occurrence Reporting and Processing of Operations Information* (Issued 7/21/97)
- DOE O 1450.4 *Consensual Listening-in or Recording Telephone/Radio Conversations* (Issued 11/12/92)
- DOE O 1700.1 *Freedom of Information Program* (Issued 11/19/79)
- DOE O 1800.1A *Privacy Act* (Issued 8/31/84)
- DOE O 4330.2D *In-house Energy Management* (Originally Issued 6/13/96 and renumbered as DOE O 430.2 on 6/13/98)
- DOE O 5300.1C *Telecommunications* (Issued 6/12/92)

¹ Guidelines are to be reviewed by the Laboratory and used to the extent they are a reasonable and cost effective method of achieving the objective stated in the directive, as determined by site-specific performance criteria.

Consolidated EH&S Requirements
Recommended for specific inclusion in the TJNAF Contract

The parties have agreed that the requirements listed below are to be applied to work performed under the contract. This list is a summary of the sixty-three requirements from the EH&S Requirements Team Final Report dated July 31, 1996, the full text of which is applicable by reference and a modification to the list (May 2001) deleting Items #35 and # 36 and adding Item #37. Where appropriate, an interpretation of the requirement and/or a graded approach to the implementation of the requirement as it applies to this contract is included in the Final Report to assure the best possible understanding of all parties as to performance expectations. In addition, the applicable EH&S Administrative Laws and Regulations list and the Work Smart Standards (formerly the Necessary and Sufficient Standards) are cited elsewhere in this contract.

Item #	Requirement	EH&S Requirements Item #
1	The contractor shall maintain an Emergency Readiness Assurance Plan appropriate for a low-hazard, non-nuclear, accelerator facility. A copy of this plan shall be provided to the Operations Office Manager.	1
5	Maintain a readiness to respond to accidents to include mitigating the consequences, collecting and preserving evidence, and assisting with the conduct of investigations until they have been completed.	5
6	Annually report ionizing radiation exposure data summaries to the DOE Radiation Records Repository for each monitored person.	6
7	Report monthly recordable occupational fatalities, injuries, and illnesses occurring among contractor and subcontractor employees arising out of work-related activities performed at the Thomas Jefferson National Accelerator Facility.	7, 8
8	Report estimated work-related loss or damage of \$5,000 or more to property (\$1,000 for vehicles).	9
9	Report quarterly total work-hours and vehicle usage.	10
10	Provide an annual summary of fire damage.	11
11	Provide reports specified herein at the times with the content, and in the formats reasonably needed by DOE, and in accordance with the SN&S Final Report.	12, 15, 16, 17, 18, 19, 20, 21, 22, 45
12	Provide an annual site environmental report to the DOE.	13
13	In the performance of this contract, the contractor is required to maintain an Occurrence Reporting Program in accordance With the SN&S Final Report, for the timely identification, categorization, and reporting of occurrence information resulting from facility operations, and for the processing of that	14, 15, 16, 17, 18, 19, 20, 21, 22

	information to identify root causes, to provide for appropriate corrective actions, and to reduce the probability of similar occurrences through the identification of good practices and lessons learned.	
17	Design, construct, and operate the facility to meet applicable local codes which take the probability and severity of various natural phenomena into account.	27
18	The contractor shall acknowledge the fire protection Authority Having Jurisdiction (AHJ) designated by the DOE. Among other roles, the AHJ shall have responsibility for resolving conflicting requirements.	28
21	Comply with exposure limits and technical requirements in American National Standards Institute Z136.1, Safe Use of Lasers.	32
22	For each construction operation presenting hazards not experienced in previous project operations or for work performed by a different subcontractor, the construction contractor shall prepare a hazard analysis and, when appropriate, a project safety and health plan, and have them approved by the Subcontracting Officer's Technical Representative prior to commencement of affected work.	33, 34
23	Promote a healthful work environment and seek to reduce occupational health-related costs through use of an occupational medical program designed by a Board-certified occupational medicine physician.	35, 36, 37, 38, 39, 40, 41, 42, 43, 44
24	Shipment data on hazardous waste and hazardous materials shall be provided to the DOE.	45
25	All DOE and contractor laboratories that conduct analytical work in support of DOE environmental radiological monitoring programs for radioactive materials shall participate in the DOE interlaboratory quality assurance program coordinated by the DOE Environmental Measurements Laboratory, New York, New York.	46
28	Use DOE-provided radiological dose conversion factors unless otherwise legally required.	49, 50, 51
34	Employees and subcontractors shall be informed, through prominent postings, of their right to report concerns to the DOE.	58
35	Low-level waste shall be characterized with sufficient accuracy to permit proper certification, segregation, treatment, storage, and disposal. Appropriate records shall be maintained. DELETE MAY 2001	59, 60, 61, 62
36	Resource Conservation and Recovery Act hazardous chemicals mixed with naturally occurring and accelerator-produced radioactive material shall be managed as hazardous waste under	63

the Resource Conservation and Recovery Act.
DELETE MAY 2001

- 37 Radioactive waste shall be managed in accordance with the recommendations of the Radioactive Waste Management Order Review Team on August 1, 2000. References to DOE O 435.1 and M 435.1 in the Team's recommendations shall be understood to refer only to those actions of the Order and Manual recommended for inclusion by the Team. 59, 60, 61, 62, 63

Report Date: November 4, 1996, Modified May 2001

- Mrd MZS2
- DOE Order 430.1B, Real Property Asset Management
 - Applicable Attachment:
 - Attachment 2 entitled "CONTRACTOR REQUIREMENTS DOCUMENT"
 - DOE O 450.1, Environmental Protection Program (Effective Date: October 1, 2003)

Assist the Department with the requirements to implement an Environmental Management System (EMS) through an appropriate formal management document. This document incorporates the appropriate requirements of the Contractor Requirements Document of DOE O 450.1, Environmental Protection Program. The EMS will be used as an effective management and stewardship tool in Laboratory policies, practices, and resource allocations.

The EMS document will integrate all EMS requirements identified in standard industry guidelines into the contractor's Integrated Safety Management System (ISMS) using a graded approach. The EMS will be reviewed annually and updated as necessary.

- DOE P 470.1, Integrated Safeguards and Security Management (ISSM) Policy, dated May 8, 2001 (Effective Date: December 1, 2003)

Integrated Safeguards and Security Management (ISSM) is implemented at the Thomas Jefferson National Accelerator Facility (Jefferson Lab) as 'Integrated Security Management (ISSM).' Throughout this Policy all references to 'Safeguards' is not applicable to the DOE/SURA contract. Otherwise, Jefferson Lab is committed to conducting work efficiently and securely. The ISSM framework shall be used to systematically integrate security into management and work practices at all levels so that missions are accomplished securely.

ISSM includes all topical areas of security (e.g., people, physical, information, and cyber security) and related crosscutting areas (e.g., export control and foreign travel).

The ISSM framework establishes a hierarchy of components. To facilitate the orderly development and implementation of security management throughout Jefferson Lab, the ISSM framework consisting of six components will apply:

1. the objective,
2. guiding principles,
3. core functions,
4. mechanisms,
5. responsibilities, and,
6. implementation."

Quality Assurance Requirements

The parties have agreed that the following requirements are to be applied to work performed under the contract and replace the requirements in DOE Directive 414.1 "Quality Assurance." Additional information regarding the process of the parties' review of the requirements from this directive and disposition of the requirements is available in the memorandum dated September 9, 1999, from the Quality Assurance Order Review Team.

Quality Assurance Requirements

1. SURA shall continue to use its established quality assurance (QA) program addressing its existing topics which promote economy, efficiency, and effectiveness throughout all operations by maintaining and improving a vigorous graded approach* program of self-assessment, quality assurance, and continuous improvement.
 - a. SURA's QA program assigns line management responsibility for the accomplishment of DOE objectives.
 - b. SURA's QA program is and will continue to be designed to minimize risks and environmental impacts and to maximize safety, reliability, and performance through the integrated application of effective management systems commensurate with the risks posed by the laboratory and its work.
2. SURA's QA program and associated procedures include the appropriate levels of direction and control (including functional responsibility) for design, procurement, work processes, personnel qualification and training, inspections and tests, documentation, records, and assessments.
 - a. Specific provisions shall be included for the detection, control, and reporting of substandard items or practices, including suspect or counterfeit items, and the prevention of their use in safety applications and other critical areas at Jefferson Lab.
3. Revisions to SURA's QA Program will continue to meet these contractual requirements. The DOE Site Office may approve these revisions, or any part thereof, at their discretion.
4. The DOE Site Office may perform or coordinate assessments to determine SURA's QA Program adequacy and implementation and to improve performance.

* Graded Approach means the process by which the level of detail in analyses, documentation, and actions necessary to comply with requirements is commensurate with the risk(s) involved with the following:

- the relative importance to safety, safeguards, and security;
- the magnitude of any hazard involved;
- the life cycle of a facility;
- the programmatic mission of a facility;
- the particular characteristics of a facility; and
- any other relevant factors.

Accelerator Facility Operations Requirements

The parties have agreed that the following requirements are to be applied to work performed under the contract and replace the requirements in DOE Directives 5480.19 "Conduct of Operations for DOE Facilities" and 420.2a "Safety of Accelerator Facilities." Additional information regarding the process of the parties' review of the requirements from these directives and disposition of the requirements is available in the memorandum dated July 7, 1999 from the Safety of Accelerator Order Review Team and the Jefferson Laboratory "Work Smart Standards Documentation" issued on August 22, 1996.

Accelerator Facility Operations Requirements

1. ACCELERATOR FACILITY DESIGN AND OPERATION REQUIREMENTS.
 - a. Each accelerator facility shall have a reasoned combination of active, passive, and administrative measures appropriately designed and used to:
 - (1) Maintain personnel exposure to prompt ionizing and non-ionizing radiation well below applicable radiological standards.
 - (2) Permit bypassing in whole or in part only by means that are stringently controlled.
 - b. The operator of each facility shall control access to the facility.
 - c. The operator of each facility shall have a written shielding policy and shall determine and document the adequacy of the shielding and other components of the personnel protection system at appropriate times and intervals.
 - d. An independent review of the provisions for personnel safety and health shall be conducted by a DOE appointed or approved ad-hoc panel of technical experts during the design phase of significant modifications to existing accelerator facilities.
 - e. Activities must not be performed if significant safety consequences could result from either an accident or a malfunction of equipment important to safety for which a safety analysis has not been performed. Activities involving an identified Unreviewed Safety Issue must not commence before DOE has provided written approval.
 - f. Accelerator facilities shall operate in accordance with written procedures that cover activities that could adversely affect the safety and health of persons, the environment, or the safe operation of equipment.
 - (1) The procedures that provide clear instructions for safely conducting activities must be maintained current and consistent with management systems and the configuration of the facility and equipment and must be approved by facility senior line manager(s) in the contractor's organization who are actively involved in the day-to-day operation of the facility. The procedures shall be reviewed at intervals not to exceed 3 years thereafter to reaffirm their continued validity.
 - (2) The procedures must include a description of the tasks to be performed, appropriate safety and health precautions and controls, and where applicable, requirements for verifying initial conditions, operating conditions to be maintained, and data to be recorded.

- (3) At a minimum, the contractor must prepare procedures for operation startup, normal operation, emergency conditions, conduct of maintenance, approval and conduct of experiments, review and approval of facility modifications, management of safety-related changes, and control of facility access.
- g. During Commissioning of an accelerator and during development programs employing an accelerator, the particle beam shall be controlled only by trained and qualified operators or duly designated accelerator specialists and physicists.
- h. Routine Operation of accelerators shall be executed only by trained and qualified operators, or by trainees under the direct supervision of a qualified operator.
- i. Experimenters at accelerator facilities shall be required to adhere to written and approved safety procedures appropriate to address the environmental, safety and health concerns identified by safety analysis of the related experiment. These safety procedures shall be approved by designated senior managers in the accelerator operating organization and the research organization, and shall be currently reviewed at the time of the experiment.
- j. In the event of DOE stoppage of accelerator-related activities for a safety issue, conditions for the resumption of the activity will be subject to approval of the DOE.

2. SAFETY ASSESSMENT REQUIREMENTS.

- a. The contractor shall prepare and submit Safety Assessment Documentation (SAD) for accelerator facilities initial construction and major modification. These documents, or combination of documents, shall be suitably connected and shall address specific hazards and risks with sufficient technical detail of the review of all safety issues so as to provide an understanding of the risks associated with the proposed operations.
 - (1) The SAD must identify hazards and associated on-site and off-site impacts to workers, the public, and the environment from the facility for both normal operations and credible accidents.
 - (2) The SAD must contain sufficient descriptive information and analytical results pertaining to specific hazards and risks identified during the safety analysis process to provide an understanding of risks presented by the proposed operations.
 - (3) The SAD must provide appropriate documentation and detailed description of engineered controls (e.g., interlocks and physical barriers) and administrative measures (e.g., training) taken to eliminate, control, or mitigate hazards from operation.

- (4) The SAD must include or reference a description of facility function, location, and management organization in addition to details of major facility components and their operation.
 - (5) The SAD may be prepared as a set of related documents addressing the hazards of the entire accelerator facility or as separate SADs prepared for discrete modules of the facility such as injectors, targets, experiments, experimental halls, etc.
 - (6) The SAD must be maintained current and consistent with the administrative control measures and physical configuration of the facility and major safety equipment.
- b. Each facility shall confine its activities within a prescribed Accelerator Safety Envelope approved by DOE that defines the set of physical and administrative bounding conditions for safe operations based on the safety analysis documented in the SAD; contractors shall immediately stop any activity violating the Accelerator Safety Envelope and inform DOE.
 - c. Safety standards for experimental apparatus, and criteria for performing a safety review prior to the apparatus being interfaced with the accelerator, shall be established by the contractor.
 - d. The contractor shall establish a system for reviewing individual proposed experiments to ensure that the hazards of each experiment have been adequately analyzed in a Safety Assessment Document, and that the experiment includes adequate controls to ensure that the applicable Accelerator Safety Envelope will not be violated during the performance of the experiment.
 - e. Any safety analysis performed subsequent to the issuance of the Safety Assessment Document shall be made an addendum to that document until it can be integrated into the next revision.

3. RISK ACCEPTANCE PROCESS REQUIREMENTS.

Accelerator Readiness Reviews (ARRs) must be performed prior to approval for commissioning and routine operation and as directed by the cognizant Secretarial Officer or a Field Element manager.

4. PERSONNEL TRAINING AND QUALIFICATION REQUIREMENTS.

- a. Training and qualification requirements must be established for each individual at an accelerator facility whose activities could affect safety and health conditions or whose safety and health could be affected by facility activities. Training and qualification must be documented and kept current.

- b. Only appropriately trained and qualified personnel, or trainees under the direct supervision of trained and qualified personnel, are permitted to perform tasks that may affect safety and health.
- c. All personnel assigned to or using the accelerator facility (including emergency response personnel) must be trained in the safety and health practices and emergency plans consistent with their involvement and the hazards present.

5. CONTRACTOR INTERNAL SAFETY REVIEW SYSTEM REQUIREMENTS.

- a. An internal safety review system must be established and maintained to periodically assess and document the condition of the facility, equipment, and engineered safety systems.
- b. Appropriateness and implementation of procedures, administrative controls, and personnel training and qualifications must be periodically reviewed and documented by the internal safety review system.

Protection and Control of Safeguards and Security Interests

The parties have agreed that the modified requirements contained in Attachment 1 and 2 are to be applied to the work performed under the contract and replace the requirements contained in DOE Directive 5632.1C "Protection and Control of Safeguards and Security Interests" and Manual 5632.1C-1 "Manual for Protection and Control of Safeguards and Security Interests." Additional information regarding the process of the parties' review of the requirements from these directives and disposition of the requirements is available in the Jefferson Lab Site Office.

DOE Order 5632.1C
PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY
INTERESTS

The level of development and implementation of security protection and control programs and the level of effort and magnitude of resources expended for these efforts shall be tailored and integrated to provide the levels of protection appropriate for the Thomas Jefferson National Accelerator Facility, a property protection facility. Effective physical protection shall rely on the interaction between security systems, personnel and administrative procedures.

Programs and procedures shall be developed to deter and/or detect misuse of physical protection equipment (e.g., video assessment equipment). Violations will be reported to the local cognizant authority for security.

The applicable requirements from DOE M 5632.1C-1 shall be addressed in a site security program.

**DOE MANUAL 5632.1C-1 REQUIREMENTS
MANUAL FOR PROTECTION AND CONTROL OF SAFEGUARDS
AND SECURITY INTERESTS**

The Thomas Jefferson National Accelerator Facility (Jefferson Lab) protection program shall be tailored to address specific site characteristics and requirements, current technology, ongoing programs, operational needs, and to achieve acceptable protection levels that reduce inherent risks on a cost-effective basis. A security plan shall be developed using a graded approach to describe and document the protection program in place.

Jefferson Lab is considered a property protection facility and as such must establish measures to give reasonable assurance of appropriate protection of DOE property. The property protection measures shall include:

- Appropriate access controls and/or physical barriers where determined to be necessary to protect departmental property and facilities. The DOE Site Office and the contractor will make this determination jointly. Access points shall be designed to provide positive control/barrier over vehicular and pedestrian traffic. Physical barriers such as fences, walls, doors, or activated barriers shall be used when necessary to protect property.
- Appropriate signs posted around the perimeter of the facility's boundary lines and at each entrance prohibiting trespassing.
- Appropriate protective lighting.
- Appropriate panic hardware or emergency exit mechanisms used on emergency doors located in Security Areas shall be operable only from inside the perimeter and shall meet all applicable Life Safety Codes
- Appropriate key management system established with an inventory and accountability system.
- Appropriate warning signs and/or notices posted at entrances to areas under protection advising that physical protection surveillance equipment is operational.

Jefferson Lab shall establish and maintain a system for issuing and controlling the use of the Office of Science Common Badges. Badges shall not be used as a means of identification for unofficial purposes (e.g., cashing checks). The following elements shall be addressed in a security awareness program:

- Individual requirements for protection of assigned badges and maintaining them in good condition. If a significant change in facial appearance takes place, the individual, supervisor, or security officer shall request a badge with a new photograph.
- Badges will be deactivated upon termination of employee.

Official Foreign Travel

The parties have agreed that the Order requirements and modified requirements contained in the Table in Attachment are to be applied to the work performed under the contract and replace the requirements contained in DOE Directive 551.1A "Official Foreign Travel." Only those requirements identified by a #1 in the Requirements Disposition column are applicable to this contract. Additional information regarding the process of the parties' review of the requirements from these directives and disposition of the requirements is available in the Jefferson Lab Site Office.

DOE ORDER 551.1A
CONTRACTOR REQUIREMENTS DOCUMENT
OFFICIAL FOREIGN TRAVEL

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Para.	Requirement	Source (Specify)	Applica- ble:	Value Added	Requirement Disposition:
1.a.(1)	In preparing for or performing official foreign travel, contractors must comply with the following: Review, approve & oversee all official foreign travel under their preview & est. appropriate internal controls to ensure accountability within their organizations. Ensure that travel complies with applicable regulations & DOE directives, & that it is consistent with U.S. foreign and nonproliferation policy, international energy policy & agreements, & national security policy objectives, & that it considers DOE missions & resources. Final approval for official foreign travel is with the responsible PSO funding the travel or, if there is no DOE funding, the official having programmatic responsibilities associated with the requested travel.	551.1 Attach 1	Y	Y	<p>1. Modified to read: In preparing for or performing official foreign travel, contractors must comply with the following: Review, approve & oversee all official foreign travel under their preview & est. appropriate internal controls to ensure accountability within their organizations. Ensure that travel complies with applicable regulations & DOE directives, & that it is consistent with U.S. foreign and nonproliferation policy, international energy policy & agreements, & national security policy objectives, & that it considers DOE missions & resources. The Laboratory Director has been delegated final approval for foreign travel to non-sensitive countries except for travel involving major conferences or long-term training assignments per ORO Memorandum dated 12/28/2000. All other foreign travel will be approved as required by this Order.</p> <p>1</p>
1.a.(2) (a)	In preparing for or performing official foreign travel, contractors must ensure the following: Travel is consistent with programmatic requirements for travel, security issues,	551.1 Attach 1	Y	Y	

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	effective use of resources, requirements governing conference management, adequacy of funding, & leave taken in conjunction with travel.					
1.a.(2) (b)	In preparing for or performing official foreign travel, contractors must ensure the following: Travel to countries on the Sensitive Countries List or involving subjects on the Sensitive Subjects List is conducted in compliance with U.S. National security, intelligence, counterintelligence, and nonproliferation policies including U.S. export control regulations.	551.1 Attach 1	Y	Y	Y	1
1.a.(2) (c)	In preparing for or performing official foreign travel, contractors must ensure the following: All requests for official foreign travel to countries on the list of state sponsors of terrorism, maintained by the Department of State, are reviewed according to procedures established by the Office of Defense Nuclear Nonproliferation.	551.1 Attach 1	Y	Y	Y	1
1.a.(3)	In preparing for or performing official foreign travel, contractors must ensure the following: When appropriate, coordinate the approval of official foreign travel with officials responsible for intelligence, counterintelligence, security, export control, & technology concerns to ensure compliance with the Export Control Guidelines established by the Office of Defense Nuclear Nonproliferation.	551.1 Attach 1	Y	Y	Y	1
1.a.(4) (a)	In preparing for or performing official foreign travel, contractors must ensure the following: Country clearances are req'd when contractors	551.1 Attach 1	Y	Y	Y	1

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	are traveling to a sensitive country; country clearances are also req'd when contractors are traveling to a non-sensitive country & either are meeting with senior Government officials or require assistance of the U.S. Embassy, Mission, or Consulate.					
1.a.(4) (b)	In preparing for or performing official foreign travel, contractors must ensure the following: For the purpose of country clearances requests, contractors provide sufficient information for the responsible Program Secretarial Officer to prepare and provide notification to the U.S. Embassy in the country to be visited.	551.1 Attach 1	Y	Y	Y	1
1.a.(4) (c)	In preparing for or performing official foreign travel, contractors must ensure the following: For travel requiring country clearance, contractors must receive country clearance from the U. S. Embassy in the country to be visited prior to the start of travel.	551.1 Attach 1	Y	Y	Y	1
1.a.(5) (a)	For all contractors on official foreign travel, Ensure appropriate pre-briefings and debriefings are provided 30 days prior to the start of & upon return from travel by & at the discretion of the following: Counterintelligence Officers when travel is to a sensitive country when the traveler holds a security clearance;	551.1 Attach 1	Y	Y	Y	1
1.a.(5) (b)	For all contractors on official foreign travel, Ensure appropriate pre-briefings and debriefings are provided 30 days prior to the start of and upon return from travel by and at the discretion of the following: Security officers for all contractors who hold or have	551.1 Attach 1	Y	Y	Y	1

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held personnel security clearance within the past 5 years, and who are traveling to a sensitive country.						
I.a.(6)	Ensure that all contractors, including those at the seven sites listed receive an annual counterintelligence awareness briefing and an annual security awareness briefing, regardless of whether the contractor employees hold clearances.	551.1 Attach 1	Y	Y	Y	1
I.a.(7)	Notify the local counterintelligence officer 30 days prior to the start of the travel when traveling to any country where foreign monetary support is provided for the travel.	551.1 Attach 1	Y	Y	Y	1.
I.a.(8)	Ensure employees have complied with trip closeout requirements for one trip before a subsequent official foreign trip is authorized or approved.	551.1 Attach 1	Y	Y	1. Modified: Trip reports are required for each official foreign travel trip. Further foreign travel may be denied until all outstanding trip reports are received from the traveler.	
I.a.(9)	These requirements may be waived for emergency response activities, as long as appropriate country clearances are obtained.	551.1 Attach 1	N	N	3. Jefferson Lab would not participate in emergency response activities.	
I.a.(10)	Ensure that emergency response personnel provide briefings to appropriate offices as requested, upon return.	551.1 Attach 1	N	N	3. Jefferson Lab would not participate in emergency response activities.	
I.a.(11)(a)	Obtain appropriate authorization from – Headquarters, Director of Safeguards and Security, when handcarrying classified material overseas.	551.1 Attach 1	N	N	3. Jefferson Lab does not have any classified material.	
I.a.(11)(b)	Obtain appropriate authorization from – Headquarters, Director of Intelligence, when handcarrying classified material overseas.	551.1 Attach 1	N	N	3. Jefferson Lab does not have any classified material.	

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1.a. (12)	Ensure blanket travel orders are issued for all personnel who might be required to respond immediately to an emergency.	551.1 Attach 1	N	N	3. Jefferson Lab does not have activities that meet the definition of a Blanket Travel Order
1.b.(1)	In controlling official foreign travel, contractors must complete the following: Enter all official foreign travel in the Foreign Travel Management System.	551.1 Attach 1	Y	Y	
1.b.(2)	In controlling official foreign travel, contractors must complete the following: Enter and approve all requests for official foreign travel to a sensitive country or involving a sensitive subject in the Foreign Travel Management System 30 days before the proposed departure date, or earlier, as necessary, to receive appropriate and timely country clearance when one is required.	551.1 Attach 1	Y	Y	
1.b.(3)	In controlling official foreign travel, contractors must complete the following: Enter and approve all requests for travel to a non-sensitive country and not involving a sensitive subject in the Foreign Travel Management System 21 days before the proposed departure date, or earlier, as necessary, to receive appropriate and timely country clearance when one is required.	551.1 Attach 1	Y	Y	
1.b.(4)	In controlling official foreign travel, contractors must complete the following: If notice of required official foreign travel is not received in time to meet the 21 – or 30-day requirement, enter in the Foreign Travel Management System as soon as possible, and	551.1 Attach 1	Y	Y	1. Modified to read: In controlling official foreign travel, contractors must complete the following: If notice of required official foreign travel to a sensitive country is not

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	coordinate with the responsible Program Secretarial Officer. The responsible Program Secretarial Officer may require a written justification and is under no obligation to approve the travel.	received in time to meet the 30-day requirement, enter in the Foreign Travel Management System as soon as possible, and coordinate with the responsible Program Secretarial Officer. The responsible Program Secretarial Officer may require a written justification and is under no obligation to approve the travel. Since official foreign travel to non-sensitive countries except travel involving major conferences or long-term training assignments has been delegated to the TJNAF Laboratory Director by ORO memorandum dated 12/28/2000, if notice of official foreign travel is not received in time to meet the 21-day Order requirement, the Laboratory will request that the traveler include with the foreign travel request the reason(s) for the late request and information will be entered in the Foreign Travel Management System as soon as possible	Y	Y	Y	1
1.b.(5)	In controlling official foreign travel, contractors must complete the following: Within 30 days after the proposed departure date, update the Foreign Travel Management System by marking all requests for official foreign travel that have been entered in the	551.1 Attach 1				

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	system but were subsequently canceled or disapproved.				
1.b.(6)	In controlling official foreign travel, contractors must complete the following: Ensure that foreign travel will not be permitted to start unless all approvals have been finalized.	551.1 Attach 1	Y	Y	1
1.c.(1)	Contractors must comply with the following trip closeout requirements: Post-travel trip reports for all official foreign travel are required from each traveler and must be submitted within 30 days after return to duty station (see Attachment 2).	551.1 Attach 1	Y	Y	1. Modified: Post-travel trip reports are required from each traveler within 30 days after return to duty station or as soon as reasonably practicable.
1.c.(2)	Contractors must comply with the following trip closeout requirements: The traveler must provide information regarding the actual cost of the travel in the trip report.	551.1 Attach 1	Y	Y	1

Safeguards and Security Program

The parties have agreed that the Order requirements and modified requirements contained in the Table in Attachment 1 are to be applied to the work performed under the contract and replace the requirements contained in DOE Directives 470.1 "Safeguards and Security Program." Only those requirements identified by a #1 in the Requirements Disposition column are applicable to this contract. Additional information regarding the process of the parties' review of the requirements from these directives and disposition of the requirements is available in the Jefferson Lab Site Office.

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Para.	Requirement	Source: Law, Reg, Exec Order, or other (Specify)	Applica ble: Y (yes) N (no)	Value Added Y (yes) N (no)	Requirement Disposition: 1. Retain Requirement 2. Replace with new or existing Performance Measure 3. Requirement not Applicable 4. Other
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CHAPTER 1 - SAFEGUARDS AND SECURITY PROGRAM PLANNING					
Ch 1 1.a..	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those that have Category I quantities of special nuclear materials, ETC.	470.1 Attach 1	N	N	3
Ch 1 1.b.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those that have a radiological/toxicological sabotage threat that would cause an unacceptable impact on the national security, the health and safety of employees, the public, or the environment.	470.1 Attach 1	N	N	3. This requirement does not apply at this time. Should quantities and types of radiological/toxicological elements change on site, this requirement will be reevaluated.
Ch 1 1.c.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those that have an industrial sabotage threat that would cause an unacceptable impact to those DOE programs supporting national defense and security	470.1 Attach 1	N	N	3

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	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those facilities engaged in intra-site transfer of special nuclear material.	470.1 Attach 1	N	N	N	3
Ch 1 1.d.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those facilities possessing classified matter.	470.1 Attach 1	N	N	N	3
Ch 1 1.e.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those facilities possessing classified matter.	470.1 Attach 1	Y	Y	Y	1
Ch 1 1.f.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Those facilities engaged in the protection of government property.	470.1 Attach 1				
Ch 1 1.g.	<u>APPLICABILITY.</u> This chapter applies to contractors that have responsibilities for administering and/or protecting the following sites and facilities. Other facilities/sites that Heads of DOE Elements deem appropriate based on vulnerability analyses.	470.1 Attach 1	N	N	N	3
Ch 1 2.a.	<u>PLANNING REQUIREMENTS.</u> The following topics shall be essential elements for planning Safeguards and Security programs. <u>Site-Specific Characteristics.</u> Protection programs shall be tailored to address specific site characteristics and requirements, current technology, ongoing programs, operational needs, and to achieve acceptable protection levels that cost-effectively reduce inherent risks.	470.1 Attach 1	Y	Y	Y	1

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Ch 1 2.b.	<u>PLANNING REQUIREMENTS.</u> The following topics shall be essential elements for planning Safeguards and Security programs. <u>Threat.</u> The "Design Basis Treat Policy for the DOE Programs and Facilities (U)" shall be used in conjunction with local threat guidance and vulnerability assessments for protection and control program planning.	470.1 Attach 1	N N N /
Ch 1 2.c.(1)- (3)	<u>PLANNING REQUIREMENTS.</u> The following topics shall be essential elements for planning Safeguards and Security programs. <u>Protection Strategy.</u> A denial strategy shall be used for protection of Category IA special nuclear material and radiological sabotage targets where unauthorized access represents unacceptable risk; A containment strategy shall be used to prevent the unauthorized removal of Category II or greater special nuclear material; Should denial or containment fail, a recapture/recovery or pursuit strategy shall be employed.	470.1 Attach 1	N N N /
Ch 1 2.c.(4)	<u>PLANNING REQUIREMENTS.</u> The following topics shall be essential elements for planning Safeguards and Security programs. <u>Protection Strategy.</u> Programs shall be designed to mitigate the consequences of radiological/toxicological sabotage that would cause unacceptable impact to national security or pose significant dangers to the health and safety of employees, the public, or the environment.	470.1 Attach 1	N N N /

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	PLANNING REQUIREMENTS. The following topics shall be essential elements for planning Safeguards and Security programs. <u>Protection Strategy</u> . Strategies for protection and control of classified matter shall incorporate the applicable requirements established in...ETC.	470.1 Attach 1	N	N	3
Ch 1 2.c.(6)	PLANNING REQUIREMENTS. The following topics shall be essential elements for planning Safeguards and Security programs. <u>Protection Strategy</u> . Strategies for protection of government property not covered in subparagraphs (1) and (2) above shall reflect a graded approach.	470.1 Attach 1	Y	Y	1
Ch 1 2.c.(7)	PLANNING REQUIREMENTS. The following topics shall be essential elements for planning Safeguards and Security programs. <u>Protection Strategy</u> . Security countermeasures to address bombings shall consider a range of activities from hand-carried, or mailed, to vehicle-transported devices.	470.1 Attach 1	Y	Y	1
Ch 1 2.d.	PLANNING REQUIREMENTS. The following topics shall be essential elements for planning Safeguards and Security programs. <u>Graded Protection</u> . Protection-related plans shall describe, justify, and document the graded protection provided the various safeguards and security interests.	470.1 Attach 1	Y	Y	1

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Ch 1 3.a. (1)-(9)	<u>PLANNING DOCUMENTS.</u> <u>Site Safeguards and Security Plan.</u> This plan is the master planning document that shall be prepared for the sites with facilities described in paragraphs 2a., 2b, 2c, & 2d.. The plan shall depict the existing condition of safeguards and security sitewide and by facility, and establish improvement priorities, and resource requirements for the necessary improvements.	470.1 Attach 1	N N	N N	3. TJAFA is not required to have a Safeguard and Security Plan because it is a property protection facility. A property protection facility is required to have a security plan.
Ch 1 3.b.	<u>PLANNING DOCUMENTS.</u> <u>Security Plans.</u> Facilities not required to prepare site safeguards and security plans shall prepare security plans that describe the protection programs in place.	470.1 Attach 1	Y Y	Y Y	
Ch 1 3.c.(1)	<u>PLANNING DOCUMENTS.</u> <u>Planning Inputs.</u> The following documents shall be used to support program forecasts and information input used in the protection program planning process. Current DOE directives, DOE threat guidance, and applicable intelligence assessment information developed and disseminated by HQ elements.	470.1 Attach 1	Y Y	Y Y	1 Only those directives and other information that is applicable for a non-nuclear accelerator facility.
Ch 1 3.c.(2)	<u>PLANNING DOCUMENTS.</u> <u>Planning Inputs.</u> The following documents shall be used to support program forecasts and information input used in the protection program planning process. Programmatic guidance and forecasts of significant changes planned in site operations, as communicated through Heads of Field Elements and appropriate HQ Elements.	470.1 Attach 1	Y Y	N N	4 This requirement provides no additional value since incorporation of forecasts of significant changes into the planning process for security needs from all elements is considered prudent business.

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Ch 1 3.c.(3)	<u>PLANNING DOCUMENTS.</u> Planning Inputs. The following documents shall be used to support program forecasts and information input used in the protection program planning process. Current and projected operational constraints and resources.	470.1 Attach 1	Y	N	4. This requirement provides no additional value since incorporation of forecasts of current and projected operational constraints and resources into the planning process for security needs from all elements is considered prudent business.
Ch 1 3.c.(4)	<u>PLANNING DOCUMENTS.</u> Planning Inputs. The following documents shall be used to support program forecasts and information input used in the protection program planning process. Protection program policy guidance provided by DOE elements.	470.1 Attach 1	Y	Y	1. If the policy guidance is applicable to the Laboratory.
Ch 1 3.d.(1)	<u>PLANNING DOCUMENTS.</u> Plan Review and Approval. Contractors shall provide Site Safeguards and Security Plans, or applicable portions thereof, to Heads of Field Elements for DOE review and approval.	470.1 Attach 1	Y	Y	1. TJNAF does not prepare a Safeguard and Security Plan, only a Security Plan for a property protection facility. The plan will be provided to the TJNAF DOE Site Office for review and approval.
Ch 1 3.d.(2)	<u>PLANNING DOCUMENTS.</u> Plan Review and Approval. The Site Safeguards and Security Plan shall be reviewed and updated annually. Copies of modifications and updates shall be provided to the Head of the Field Element.	470.1 Attach 1	Y	Y	1. Provided to the TJNAF DOE Site Office and they will forward to the appropriate DOE elements.

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CHAPTER II – SAFEGUARDS AND SECURITY TRAINING PROGRAM

		CHAPTER II – SAFEGUARDS AND SECURITY TRAINING PROGRAM					
Ch 2 1.	<u>APPLICABILITY.</u> This chapter applies to personnel performing safeguards and security tasks and responsibilities.	470.1 Attach 1	N	N	N	3. Since TJNAF does not have personnel performing the typical Safeguards and Security tasks and responsibilities because it is a property protection facility, most the tasks and responsibilities in this Chapter should only be used as guidance.	
Ch 2 2.a.(1) -5)	<u>PROGRAM REQUIREMENTS.</u> The Safeguards and Security Training Program shall encompass training in the following subjects as applicable : Program Management, Personnel Security, Protection Operations, Materials Control and Accountability, and Information Security.	470.1 Attach 1	Y	Y	1. Site specific training and refresher training is based on performing the duties of the various posts and EH&S site specific training. The security guard subcontractor has to develop and submit a training plan.		
Ch 2 2.b.	<u>PROGRAM REQUIREMENTS.</u> Training methodology and courses shall be standardized. Development, review, and presentation of training courses for unique site-specific requirements shall be the responsibility of cognizant sites.	470.1 Attach 1	N	N	3		
Ch 2 2.c.	<u>PROGRAM REQUIREMENTS.</u> Training programs shall be based on the results of job analyses to document the identification and description of major tasks and skill requirements.	470.1 Attach 1	Y	Y	1. Site specific training and refresher training is based on performing the duties of the various posts and EH&S site specific training. The security guard subcontractor has to develop and submit a training plan.		

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<u>PROGRAM REQUIREMENTS.</u>		470.1 Attach 1		Y Y		1. Site specific training and refresher training is based on performing the duties of the various posts and EH&S site specific training. The security guard subcontractor has to develop and submit a training plan.	
Ch 2 2.d. 2.d.(1)	Training shall be provided to individuals to ensure they are qualified to perform assigned safeguards or security tasks or responsibilities.						
Ch 2 2.d.(2)	<u>PROGRAM REQUIREMENTS.</u> Initial and refresher training shall be tailored to develop the required knowledge and skills.	470.1 Attach 1	Y	Y		1. Site specific training and refresher training is based on performing the duties of the various posts and EH&S site specific training. The security guard subcontractor has to develop and submit a training plan.	
Ch 2 2.d.(3)	<u>PROGRAM REQUIREMENTS.</u> The scope and level of training provided to individuals shall be tailored to their assigned duties and responsibilities and shall be based on an analysis of their prior safeguards and security experience and training.	470.1 Attach 1	Y	Y		1. Site specific training and refresher training is based on performing the duties of the various posts and EH&S site specific training. The security guard subcontractor has to develop and submit a training plan.	
Ch 2 2.d.(4)	Knowledge and performance-based testing shall apply to all required training to measure the skills acquired from the training programs developed	470.1 Attach 1	Y	Y		1. Most training will be taken off site and up to the provider to test individuals.	
Ch 2 2.d.(4)	For specialized skill requirements, such as armorers, personnel security specialists, nuclear materials custodians,	470.1 Attach 1	N	N	3		

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	and technical security countermeasure technicians, performance testing shall form the primary basis for certification.					
Ch 2 2.d.(5)	10 CFR, Parts 1046 and 1048, address certain specific training requirements for protective force personnel.	470.1 Attach 1	Y	Y	Y	3.
Ch 2 2.e.(1) - (3)	A training approval program (TAP) shall be implemented to standardize safeguards and security training conducted at DOE facilities other than the Safeguards and Security Central Training Academy. ETC.	470.1 Attach 1	N	N	N	3. TJNAF is a property protection facility and training is designed to address security needs that are appropriate for that type of facility. A TAP is not required at TJNAF.
Ch 2 2.f.	Instructors shall be certified by the individual responsible for the contractor training program. Certification shall remain valid so long as the individual fulfills applicable refresher training. ETC.	470.1 Attach 1	N	N	N	3
Ch 2 2.g.(1)	Records shall be maintained to document training provided to personnel participating in the DOE safeguards and security program. Records of training shall contain course identification, dates accomplished, and scores achieved, where applicable.	470.1 Attach 1	Y	Y	Y	1
Ch 2 2.g.(2)	Records of training provided to individuals shall be retained in electronic or hard copy form. Records shall be retained according to guidance provided in DOE 1324.5B, RECORDS	470.1 Attach 1	Y	Y	Y	1. This Order has been replaced in the contract with DOE 200.1. The Laboratory Security Manager maintains a copy of all contractor training.

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	MANAGEMENT PROGRAM, of 1-12-95, and General Records Schedules issued by the Archivist of the U.S.						
Ch 2 2.g.(2)(a)	Records of training provided at the Central Training Academy shall be maintained at the Academy and shall also be maintained by the organization sponsoring the individual.	470.1 Attach 1	N	N			3. TJNAF is a property protection facility and does not have a need to send its security guards to the Central Training Academy.
Ch 2 2.g.(2)(b)	Records of training provided at DOE elements shall be maintained at DOE HQ or the relevant Operations Office, as appropriate, and shall be provided to the organization sponsoring the individual for inclusion in the individual's record file.	470.1 Attach 1	N	N			4. It is up to the training provider to transmit the training information.
Ch 2 2.g.(2)(c)	Records of training provided at contractor facilities shall be provided to and retained by the organization sponsoring the individual.	470.1 Attach 1	Y	Y	1		
Ch 2 2.g.(2)(d)	Records of training provided at other government or private facilities shall be obtained and maintained by the organization sponsoring the individual.	470.1 Attach 1	Y	Y	1		
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CHAPTER III - PERFORMANCE ASSURANCE PROGRAM							
Ch 3	<u>APPLICABILITY.</u> The program focus on all safeguards and security system elements used to protect Category I and II special nuclear materials and Top Secret matter.	470.1 Attach 1	N	N			3. TJNAF does not have any Category I and II special nuclear materials or Top Secret matter. Therefore, this Chapter does not apply.

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CHAPTER IV – SAFEGUARDS AND SECURITY AWARENESS PROGRAM

CHAPTER IV – SAFEGUARDS AND SECURITY AWARENESS PROGRAM					
Ch 4 1.	APPLICABILITY. A safeguards and Security Awareness Program shall be developed, implemented and maintained at each facility/site/activity having DOE Security Areas, classified matter, and/or special nuclear materials.	470.1 Attach 1	Y Y	Y Y	1 There is no classified information or special nuclear materials on site therefore, Security Awareness shall be provided as appropriate.
Ch 4 2.a.	REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. As a condition for unescorted access to DOE Security Areas and/or access to classified information or special nuclear materials, contractor employees (and other individuals granted DOE access authorization) shall receive briefings as required by this Chapter.	470.1 Attach 1	N	N	3.
Ch 4 2.b.	REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Individuals granted DOE access authorizations shall be precluded or restricted from access to DOE Security Areas, classified information, or special nuclear materials until the briefing requirements of this chapter have been satisfied.	470.1 Attach 1	Y	Y	3.
Ch 4 2.c.(1)- (4)	REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Briefings. Safeguards and security awareness programs shall include, but are not limited to, the development and presentation of four	470.1 Attach 1	N	N	3.

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	briefings; Initial Briefing; Comprehensive Briefing; Refresher Briefings & Termination Briefing.					
Ch 4 2.d.(1)- (3)	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Topics.</u> Safeguards and security awareness programs shall incorporate the dissemination of information concerning the following: Applicable DOE safeguards and security regulations, directives, procedures, and guides; Site-specific (and/or operations-specific) safeguards and security policies, procedures, and requirements; & other matters of safeguards and security interest.	470.1 Attach 1	N	N	N	3.
Ch 4 2.e.(1)- (2)	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Initial Briefing.</u> Individuals approved for unescorted access to Security Areas shall receive initial briefings.	470.1 Attach 1	N	N	N	3.
Ch 4 2.f(1) -(2)	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Comprehensive Briefing.</u> Prior to being granted access to classified information or special nuclear materials, individuals granted DOE access authorization shall receive comprehensive briefings to inform them of their safeguards and security responsibilities. When such individuals are assigned to another DOE facility, they shall receive comprehensive briefings at the new facility.	470.1 Attach 1	N	N	N	3.

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Ch 4 2.g.	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Refresher Briefings.</u>	470.1 Attach 1	N	N	3.
Ch 4 2.h.	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM.</u> Termination Briefings.	470.1 Attach 1	N	Y	3.
Ch 4 2.i..	<u>REQUIREMENTS: SUMMARY OF SAFEGUARDS AND SECURITY AWARENESS PROGRAM. Safeguards and Security Awareness Coordinator.</u> The contractor shall appoint a Safeguards and Security Awareness Coordinator who shall formulate and/or maintain a safeguards and security awareness program.	470.1 Attach 1	Y	1. The contractor shall appoint a Safeguards and Security Awareness Coordinator who shall formulate and/or maintain a safeguards and security awareness program on a graded approach to address the security concerns of TJNAF.	
Ch 4. 3.a.	<u>DOCUMENTATION REQUIREMENTS.</u> Recordkeeping. Records shall be maintained in a manner that identifies all individuals who have received briefings by type and date of briefing and calendar date. Recordkeeping systems shall be capable of providing an audit trail.	470.1 Attach 1	N	N	3.
Ch 4 3.b.(1)	<u>DOCUMENTATION REQUIREMENTS.</u> Documentation. A completed SF-312 may serve as the documentation for the comprehensive briefing.	470.1 Attach 1	Y	N	4. This is a recommendation, not a requirement.
Ch 4 3.b.(2)	<u>DOCUMENTATION REQUIREMENTS.</u> Documentation. In recurring requirements, such as the	470.1 Attach 1	N	N	3.

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	refresher briefing, records shall be maintained until the next occurrence of the briefing.				
Ch 4 3.b.(3)	<u>DOCUMENTATION REQUIREMENTS.</u> Documentation. The completion of DOE F. 5631.29 satisfies documentation requirements for the termination briefing.	470.1 Attach 1	Y	N	4. This is a recommendation, not a requirement.
CHAPTER V – FACILITY CLEARANCES AND REGISTRATION OF SAFEGUARDS AND SECURITY ACTIVITIES					
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Ch 5 1.	APPLICABILITY. This Chapter applies to Safeguards and security activities involving access authorizations, classified information, nuclear or other hazardous material that presents a potential radiological or toxicological sabotage threat, and/or Departmental property with a value of \$5,000,000 or more.	470.1 Attach 1	Y	Y	1. Jefferson Lab is a Property Protection Facility and as such does not possess classified or nuclear material.
Ch 5 2.a.	REQUIREMENTS: GENERAL – Nuclear and other hazardous materials presenting a potential radiological or toxicological sabotage threat, classified matter, and property protection interests shall not be permitted on premises occupied by the Dept. or its contractors until facility clearance is granted.	470.1 Attach 1	Y	Y	1. Property protection interests shall not be permitted on premises occupied by the Dept. or its contractors until facility clearance is granted.
Ch 5 2.b	REQUIREMENTS: GENERAL – Safeguards and security activities involving access authorizations shall be	470.1 Attach 1	N	N	3

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	registered to assist in ensuring proper levels of protection consistent with Departmental standards to prevent unacceptable, adverse impact on national security or on the health and safety of DOE and contractor employees, the public, or the environment.	470.1 Attach 1	N	N	3.
Ch 5 2.c.	REQUIREMENTS: GENERAL – If no need exists for a contractor's office locations to receive, process, reproduce, store, transmit, or handle classified information or nuclear material, but access authorizations are required for the contractor to perform the work within DOE-approved facilities, the contractor (identified as a non-possessing facility) must be registered. As used in this Contractor Requirements Document, the term facility clearance refers to both possessing and non-possessing facilities.	470.1 Attach 1	Y	Y	3.
Ch 5 2.d.	REQUIREMENTS: GENERAL – Facility clearance shall be based upon a determination that satisfactory safeguards and security can be afforded the safeguards and security activities. The determination of a valid facility clearance shall be based upon an approved safeguards and security plan results of surveys, and a favorable FOCI determination, as appropriate.	470.1 Attach 1	Y	Y	3.
Ch 5 2.e	REQUIREMENTS: GENERAL – Approval for other Federal Agency safeguards and security activities to be conducted at Department-owned or -operated facilities shall be based on a determination that the	470.1 Attach 1	N	N	4. If another federal agency wants to perform classified work at TJNAF, this requirement would apply. However, it does not apply now.

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	safeguards and security measures to be provided are consistent with Departmental Policy.				
Ch 5 2.f.	REQUIREMENTS: GENERAL – Facility clearance for work-for-others safeguards and security activities at other than Department-owned or –operated facilities that are channeled through a Departmental entity shall be based on the validation of the other agency's facility clearance.	470.1 Attach 1	N	N	4. If work for others involves classified work at TJNAF, this requirement would apply. However, it does not apply now.
Ch 5 2.f.(1)	REQUIREMENTS: GENERAL – Before commencement of non-DOE funded work conduct, as required by DOE 5650.2B, IDENTIFICATION OF CLASSIFIED INFORMATION, of 12-31-91, a review of the work request and certify that the sponsoring origination has either provided the appropriate classification guidance or has stated in writing that the non-DOE funded work will not entail classified activities.	470.1 Attach 1	N	N	4. If work for others involves classified work at TJNAF, this requirement would apply. However, it does not apply now.
Ch 5 2.f.(2)	REQUIREMENTS: GENERAL – Ensure, prior to commencement of the non-DOE funded work involving access authorization, that safeguards and security activities have been recorded as security interests on DOE F 5634.2, "Contract Security Classification Specification," or DD F 254, "Contract Security Classification Specification."	470.1 Attach 1	N	N	4. If work for others involves classified work at TJNAF, this requirement would apply. However, it does not apply now.
Ch 5 2.f.(3)	REQUIREMENTS: GENERAL – Ensure, before acceptance of any work for another Federal agency, that appropriate reimbursement for Safeguards and	470.1 Attach 1	Y	n	4. If work for others involves classified work at TJNAF, this requirement would apply. However, it does not apply now.

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Ch 5 3.a.(1) - (2)	REQUIREMENTS: FACILITY CLEARANCES. <u>Granting Approval.</u> Approval of a facility is based on the following: A favorable foreign ownership, control or influence (FOCI) determination, in accordance with Chapter VI of this contractor requirements document & A Facility National Agency Check, which has been requested or completed on those facilities that do not possess a DOD facility clearance, in accordance with this Chapter.	470.1 Attach 1	N	N	3. This is a DOE requirement.
Ch 5 3.a.(3)	REQUIREMENTS: FACILITY CLEARANCES. <u>Granting Approval.</u> Approval of a facility is based on the following: For contractors, contract(s) containing appropriate security clauses.	470.1 Attach 1	N	N	4. DOE Site Office will assure that appropriate security clauses are in the contact.
Ch 5 3.a.(4)	REQUIREMENTS: FACILITY CLEARANCES. <u>Granting Approval.</u> Approval of a facility is based on the following: Approved safeguards and security plans, as appropriate.	470.1 Attach 1	N	N	4. See Ch 1.3.d.(1). This is a duplicate requirement.
Ch 5 3.a.(5)	REQUIREMENTS: FACILITY CLEARANCES. <u>Granting Approval.</u> Approval of a facility is based on the following: If nuclear materials are involved, an established Reporting Identification Symbol code for Nuclear Materials Management and Safeguards System reporting.	470.1 Attach 1	N	N	3. TJNAF does not have Nuclear materials on site.
Ch 5	REQUIREMENTS: FACILITY	470.1	Y	Y	1. Jefferson Lab is a Property

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3.a.(6)	<u>CLEARANCES. Granting Approval.</u> Approval of a facility is based on the following: For the facility to possess classified matter, nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat, or over \$5,000,000 of DOE property, not including facilities or land values, at its location, an initial survey or other survey resulting in a report that comprehensively addresses the security interest, conducted no more than 6 months before the facility clearance date, with a composite facility rating of satisfactory.	Attach 1		Protection Facility and as such does not possess classified or nuclear material nor other hazardous material presenting a potential radiological or toxicological sabotage threat.
Ch 5 3.a.(7)	<u>REQUIREMENTS: FACILITY CLEARANCES. Granting Approval.</u> Approval of a facility is based on the following: Appointment of a Facility Security Officer and, if applicable, Materials Control and Accountability Representative. The Facility Security Officer must possess a personnel clearance equivalent with the facility clearance.	470.1 Attach 1	Y	1. TJNAF is required to appoint a Facility Security Officer who possesses a personnel clearance equivalent with the facility clearance.
Ch 5 3.a.(8)	<u>REQUIREMENTS: FACILITY CLEARANCES. Granting Approval.</u> Access authorizations for appropriate personnel. Key management personnel must be determined case by case. Key management personnel must be cleared to the level of the facility clearance. Other officials, to be determined by the Lead Responsible Office, must possess appropriate access authorization for classified information or special nuclear materials.	470.1 Attach 1	N N	3.
Ch 5	<u>REQUIREMENTS: FACILITY</u>	470.1	N N	3. TJNAF does not process, use or

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3.b.	CLEARANCES. Accepting a Contractor's Existing Federal Agency Facility Clearance. A contractor facility holding facility clearance from another Federal agency may be approved by DOE for processing, using, or storing classified matter, contingent upon the actions required by 470.1.	Attach 1			store classified material.
Ch 5 4.	REQUIREMENTS: <u>FACILITY DATA AND APPROVAL RECORD</u> . A DOE F 5634.3, "Facility Data and Approval Record," shall be prepared by the procurement request originator, who forwards the completed form, through their own safeguards and security organization, to the cognizant Departmental safeguards and security organization.	470.1 Attach 1	Y	Y	1. Modified to read: Approval Record," shall be prepared by contractor, who forwards the completed form, through their own safeguards and security organization, to the DOE Site Office who coordinates with the cognizant Departmental safeguards and security organization.
Ch 5 4.a.	REQUIREMENTS: <u>FACILITY DATA AND APPROVAL RECORD</u> . If a subcontract is established between a DOE prime contractor and another contractor for work involving access authorizations, classified matter or nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat, it is the responsibility of the prime contractor to ensure the proper preparation of a DOE F 5634.3.	470.1 Attach 1	N	N	3. TJNAF does not have classified work.
Ch 5 4.b.	REQUIREMENTS: <u>FACILITY DATA AND APPROVAL RECORD</u> . The prime contractor is responsible for forwarding information on the DOE F 5634.3 requiring updating to the cognizant Departmental safeguards and security organization.	470.1 Attach 1	Y	Y	1.
Ch 5	REQUIREMENTS: CONTRACT	470.1	N	N	4. If new work involves access

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5.a.	SECURITY CLASSIFICATION SPECIFICATION. New Activity. If a new activity for work involving access authorizations is being considered, the DOE F 5634.2 (or the DD F 254, "Contract Security Classification Specification") must be submitted by the procurement request originator to the Contracting Officer's Representative.	Attach 1			authorizations, this requirement would apply.
Ch 5 5.b.	REQUIREMENTS: CONTRACT SECURITY CLASSIFICATION SPECIFICATION. Preparation. A DOE F 5634.2 shall be initially prepared by the procurement request originator, who forwards the completed form to the cognizant Departmental Element Safeguards and Security organization. If a DD Form 254, "Contract Security Classification Specification" has been used by the agency sponsoring the activity, it shall be annotated with the facility code and submitted instead of the DOE F 5634.2.	470.1470. 1 Attach 1 Attach 1	N	N	4. If new work involves access authorizations, this requirement would apply.
Ch 6 1.a & b.	APPLICABILITY. Foreign ownership, control, or influence (FOCI) determinations are required of the following: Contractors, which include any industrial, educational, commercial, or other entity, grantee, or licensee, including an individual, that has executed an agreement with the Federal Government for the purposes of performing under a contract, license, or other	470.1 Attach 1	N	N	3. TINAF does not perform any classified work in its capacity as a DOE contractor. This chapter does not apply.

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CHAPTER VI – FOREIGN OWNERSHIP, CONTROL, OR INFLUENCE PROGRAM

Ch 6 1.a & b.	APPLICABILITY. Foreign ownership, control, or influence (FOCI) determinations are required of the following: Contractors, which include any industrial, educational, commercial, or other entity, grantee, or licensee, including an individual, that has executed an agreement with the Federal Government for the purposes of performing under a contract, license, or other	470.1 Attach 1	N	N	3. TINAF does not perform any classified work in its capacity as a DOE contractor. This chapter does not apply.
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arrangement that requires access authorizations. This includes subcontractors of any tier, consultants, agents, grantees, and cooperative agreement participants and all tier parents, if the contractor is owned or controlled by another firm(s).		ATTACHMENT 1 CHAPTER VII – INCIDENTS OF SAFEGUARDS AND SECURITY CONCERN			
Ch 7 1.a.	<u>APPLICABILITY</u> . When an inquiry establishes credible information that fraud, waste and/or abuse has occurred, which does not involve a national security interest, the Office of the Inspector General shall be notified for information and/or action	470.1 Attach 1	Y	Y	1. <u>APPLICABILITY</u> . When an inquiry establishes or employees have credible information that fraud, waste and/or abuse has occurred, which does not involve a national security interest, the Office of the Inspector General shall be notified for information and/or action 3.
Ch 7 1.b.	<u>APPLICABILITY</u> . When an inquiry establishes that a potential compromise or unauthorized disclosure of classified information, the applicable provision of DOE O 471.2, INFORMATION SECURITY PROGRAM, shall be followed.	470.1 Attach 1	N	N	
Ch 7 1.c.	<u>APPLICABILITY</u> . Employees with information indicating possible fraud, waste, abuse, or other forms of wrongdoing in the Department's programs or operations shall inform the Inspector General immediately upon obtaining such information.	470.1 Attach 1	Y	N	3. See Ch 7.1.a. above.
Ch 7 REQUIREMENTS	S. Loss, compromise,	470.1	Y	Y	1. Modified to read: alleged or

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2.a.	or unauthorized disclosure of classified information, and alleged or suspected violations of laws pertaining to safeguards and security shall be reported promptly through the appropriate DOE Element to the Office of Safeguards and Security, Secretarial Officer, and when appropriate, the local Federal Bureau of Investigation office.	Attach 1		suspected violations of laws pertaining to safeguards and security shall be reported promptly through the DOE Site Office to the Office of Safeguards and Security, Secretarial Officer, and when appropriate, the local Federal Bureau of Investigation office.
Ch 7 2.b.	<u>REQUIREMENTS.</u> Unclassified reports and notifications of safeguards and security incidents shall be made in accordance with DOE O. 232.1, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION; and DOE O 471.2, INFORMATION SECURITY PROGRAM. Reports which contain classified information shall contain all of the information required by DOE O 232.1, but shall not be entered on the Occurrence Reporting and Processing System. Classified reports shall be sent by approved methods for transmitting classified information. Reporting intervals for incidents of safeguards and security concern must be in accordance with DOE O 232.1.	470.1 Attach 1	Y	1 Modified to read: Unclassified reports and notifications of safeguards and security incidents shall be made in accordance with DOE O. 232.1, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION; and DOE O 471.2, INFORMATION SECURITY PROGRAM. Reporting intervals for incidents of safeguards and security concern must be in accordance with DOE O 232.1.
Ch 7 2.c.	<u>REQUIREMENTS.</u> Federal Bureau of Investigation personnel shall be admitted to areas and afforded access to Restricted Data or other classified information as necessary for them to perform their duties. Such personnel shall be provided	470.1 Attach 1	Y	1. Modified to read: Federal Bureau of Investigation personnel shall be admitted to areas and afforded access to information as necessary for them to perform their duties. Such personnel shall

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	escort, as necessary, for safety reasons or to facilitate the investigative progress.				be provided escort, as necessary, for safety reasons or to facilitate the investigative progress.
Ch 7 2.d.	<u>REQUIREMENTS.</u> When Federal Bureau of Investigation personnel are given access to classified information, they will be immediately advised of the classification and the category of the information. Appropriate document and data classification, marking information, and protection and control requirements shall be made available to them through local liaison channels.	470.1 Attach 1	N	N	3. TJNAF has no classified information on site.

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CHAPTER VIII – CONTROL OF CLASSIFIED VISITS PROGRAM

Ch 8 1.	<u>APPLICABILITY.</u> The requirements in this chapter apply to contractor personnel who visit DOE facilities that entail access to classified information.	470.1 Attach 1	N	N	3. TJNAF has no need to have access to classified material/information. Therefore this Chapter does not apply to TJNAF.
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CHAPTER IX – SURVEY PROGRAM

Ch 9 1.	<u>APPLICABILITY.</u> The Survey Program applies to all facilities that are eligible to have access to, use, store, or transmit nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat and/or classified information, that require access authorizations, or that possess over \$5,000,000 of DOE Property, exclusive of facilities and land values.	470.1 Attach 1	Y	Y	1. TJNAF possess over \$5,000,000 of DOE Property, exclusive of facilities and land values. Therefore, the survey requirement applies for this reason.
Ch 9	<u>REQUIREMENTS: CORRECTIVE</u>	470.1	Y	Y	1

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2.a.	<u>ACTIONS.</u> When a survey contains findings, the surveyed organization shall submit a response identifying corrective action(s) for each finding to the Responsible and Surveying Offices no later than 30 working days after the formal receipt of findings. The corrective action(s) should be based on documented root cause analysis, risk assessment, and cost-benefit analysis	470.1 Attach 1	Y Y	Y Y	1 1
Ch 9 2.b.	<u>ACTIONS. CORRECTIVE</u> Contractors shall provide quarterly reports of corrective action(s) for each finding to the Responsible and Surveying Offices.				

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CHAPTER X - SELF-ASSESSMENT PROGRAM					
Ch 10 1.	<u>APPLICABILITY.</u> This program applies to contractor facilities for which a DOE F 5634.3, "Facility Data and Approval Records" is recorded. The level of detail of the self-assessment may be specified by the Lead Responsible Office.	470.1 Attach 1	Y Y	Y Y	I Clarification: Self-Assessment Program refers to the line self-assessment performed by the organizational element of the laboratory where the security program is managed. 1
Ch 10 2.a.(1)	<u>REQUIREMENTS. Self-assessment</u> programs shall be conducted and documented for all cleared facilities. The self-assessment program shall: include reviews of all applicable DOE F 5634.1, "Safeguards and Security Survey Report," topical and subtopical areas of the facility's safeguards and security program/system;	470.1 Attach 1	Y Y	Y Y	1
Ch 10	<u>REQUIREMENTS. Self-assessment</u> This Order cancels two Security Orders in the contract, 5634.1B and 5639.3. Page 24 of 26	470.1	Y Y	Y Y	1 1

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2.a.(2)	programs shall be conducted and documented for all cleared facilities. The self-assessment program shall: be conducted between the periodic surveys conducted by the Surveying Office; and		Attach 1				
Ch 10 2.a.(3)	<u>REQUIREMENTS.</u> Self-assessment programs shall be conducted and documented for all cleared facilities. The self-assessment program shall: be conducted using personnel knowledgeable of the programmatic or topical area.	470.1 Attach 1	Y	Y	Y	Y	1
Ch 10 2.b.(1) - (4)	<u>REQUIREMENTS.</u> Self-assessment reports shall: address reviewed topical areas; be used as organizational management tools/aids in determining the status of safeguards and security performance and compliance with applicable safeguards and security order requirements; be available by the Surveying Office during surveys; and list findings resulting from self-assessment activities.	470.1 Attach 1	Y	Y	Y	Y	1
Ch 10 2.c.(1) - (3)	<u>REQUIREMENTS</u> Findings resulting from selfassessments shall be processed as follows: Review during the surveys by the Surveying Office; addressed by facility/organization management through a documented corrective action plan; Reviewed and the status of findings tracked until closed.	470.1 Attach 1	Y	Y	Y	Y	1
Ch 10	<u>REQUIREMENTS</u> Findings resulting	470.1	Y	Y	Y	Y	1

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2.c.(4) (a)	from self-assessments shall be processed as follows: Reported to the Lead Responsible Office if: a vulnerability to national security, classified information, nuclear materials, or departmental property results, or may result, in a significant anomaly that could have significant programmatic impact or embarrass the Department, or	Attach 1				
Ch 10 2.c.(4) (b)	<u>REQUIREMENTS</u> Findings resulting from self-assessments shall be processed as follows: Reported to the Lead Responsible Office if: the self-assessment is used to extend the Surveying Office's periodic survey frequency.	470.1 Attach 1	Y	Y	Y	1
Ch 10 2.c.(5)	<u>REQUIREMENTS</u> Findings resulting from self-assessments shall be processed as follows: be documented in survey reports when deficiencies still exist and have not been adequately addressed.	470.1 Attach 1	N	N	N	3. This is the responsibility of the surveying office.

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